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DOCKET NO. 1316.1021CC

1FW  
/B

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Jang-Hoon YOO et al.

Serial No. 09/930,964

Group Art Unit: 2655

Confirmation No. 2291

Filed: August 17, 2001

Examiner: Mohammad N. Edun

For: OPTICAL PICKUP COMPATIBLE WITH A DIGITAL VERSATILE DISK AND A  
RECORDABLE COMPACT DISK USING A HOLOGRAPHIC RING LENS

**LETTER TO THE EXAMINER REQUESTING CONSIDERATION OF TIMELY FILED  
INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

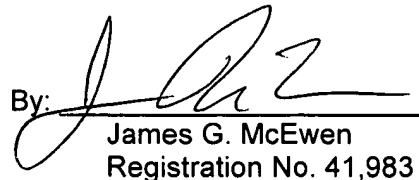
Sir:

Further to a review of the instant application after receipt of the Notice of Allowance mailed November 18, 2004, it appears that the applicants have not received confirmation that the Information Disclosure Statement filed on February 21, 2003 has been considered. A copy of the Information Disclosure Statement date stamped February 21, 2003 is enclosed for the convenience of the Examiner. It is respectfully requested that the Examiner confirm consideration of the Information Disclosure Statement.

If the Examiner has any remaining issues to be addressed, it is believed that prosecution can be expedited by the Examiner contacting the undersigned attorney for a telephone interview to discuss resolution of such issues.

Respectfully submitted,

STEIN, MCEWEN & BUI LLP

By:   
James G. McEwen  
Registration No. 41,983

1400 Eye Street, NW, Suite 300  
Washington, D.C. 20005  
Telephone: (202) 216-9505  
Date: DEC. 9, 2004

Please Date Stamp and return

Information Disclosure Statement with PTO form 1449 and 85 references and Attachment 1(f) with 1 application

APPLICANT(S): Jang-Hoon YOO et al.

SERIAL NO: 09/930,964

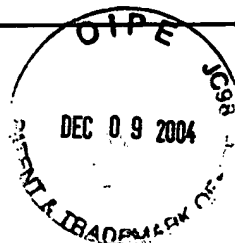
CONFIRMATION NO. 2291

TITLE: OPTICAL PICKUP COMPATIBLE WITH A DIGITAL VERSATILE DISK AND A RECORDABLE COMPACT DISK USING A HOLOGRAPHIC RING LENS

FILING DATE: August 17, 2001

DOCKET NO: 1316.1021CC/:

DUE DATE: N/A



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Please Date Stamp and return

Information Disclosure Statement with PTO form 1449 and 85 references and Attachment 1(f) with 1 application

APPLICANT(S): Jang-Hoon YOO et al.

SERIAL NO: 09/930,964

CONFIRMATION NO. 2291

TITLE: OPTICAL PICKUP COMPATIBLE WITH A DIGITAL VERSATILE DISK AND A RECORDABLE COMPACT DISK USING A HOLOGRAPHIC RING LENS

FILING DATE: August 17, 2001

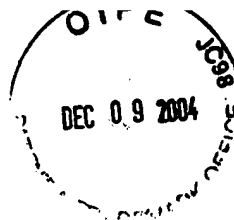
DOCKET NO: 1316.1021CC/:

DUE DATE: N/A



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Attorney Docket No. 1316.1021CC

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:

Jang-Hoon YOO et al.

Application No.: 09/930,964

Group Art Unit: 2651

Filed: August 17, 2001

Examiner: **MOHAMMAD N EDUN**

For: **OPTICAL PICKUP COMPATIBLE WITH A DIGITAL VERSATILE DISK AND A  
RECORDABLE COMPACT DISK USING A HOLOGRAPHIC RING LENS**

**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure provisions of 37 CFR § 1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. It is requested that the Examiner make this information of record if it is deemed material to the examination of the subject application.

1. Enclosures accompanying this Information Disclosure Statement are:

- 1a. ☒ Form PTO-1449.
- 1b. ☒ Copies of IDS citations.
- 1c. ☐ An English language copy of search report(s) from a counterpart foreign application or a PCT International Search Report.
- 1d. ☒ English language translation (As indicated) attached to each non-English language publication.
- 1e. ☐ Explanations of Relevancy of References (ATTACHMENT 1(e), hereto) for providing a concise explanation of each non-English publication.
- 1f. ☒ List of Copending Applications (ATTACHMENT 1(f), hereto).
- 1g. ☐ List of Additional Submitted Documents (ATTACHMENT 1(g), hereto).

2. ☒ This Information Disclosure Statement is filed under 37 CFR §1.97(b):

*(Check either Item 2a or 2b or 2c or 2d)*

- 2a. ☐ Within three months of the filing date of a national application other than a Continued Prosecution Application under § 1.53(d);
- 2b. ☐ Within three months of the date of entry of the national stage as set forth in § 1.491 in an international application.
- 2c. ☒ Before the mailing of a first Office Action on the merits; or
- 2d. ☐ Before the mailing of a first Office Action after the filing of a Request for Continued Examination under § 1.114.

3. ☐ This Information Disclosure Statement is filed under 37 CFR § 1.97(c) after the period specified in paragraph 2 above but before the mailing date of any of a Final Office Action under § 1.113, a Notice of Allowance under § 1.311 or an action that otherwise closes prosecution in the application, AND

*(Check either Item 3a or 3b; Item 3b to be checked if any reference known for more than 3 months)*

- 3a. ☐ The § 1.97(e) Statement in Item 5 below is applicable; OR  
3b. ☐ The \$180.00 fee set forth in 37 C.F.R. §1.17(p) is:  
☐ enclosed.  
☐ to be charged to Deposit Account No. 19-3935.

4. ☐ This Information Disclosure Statement is filed under 37 CFR §1.97(d) after the period specified in paragraph 3 above, but on or before payment of the Issue Fee, AND

- 4a. ☐ The § 1.97(e) Statement in Item 5 below is applicable; AND  
4b. ☐ The \$180.00 fee set forth in 37 C.F.R. §1.17(p) is:  
☐ enclosed.  
☐ to be charged to Deposit Account No. 19-3935.

5. ☐ Statement under § 1.97(e) *(applicable if Item 3a or Item 4 is checked)*  
*(Check either Item 5a or 5b)*

- 5a. ☐ In accordance with 37 CFR § 1.97(e)(1), it is stated that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.  
5b. ☐ In accordance with 37 CFR § 1.97(e)(2), it is stated that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known by any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

6. ☐ This is a continuation/divisional/continuation-in-part application under 37 CFR § 1.53(b).

*(Check appropriate Items 6a and/or 6b)*

- 6a. ☐ Copies of the publications listed on the attached Form PTO-1449 which were previously cited in prior application Serial No. \_\_\_, filed on \_\_\_, and which is relied on for an earlier effective filing date for the subject application under 35 U.S.C. § 120, have been omitted pursuant to 37 CFR § 1.98(d).  
6b. ☐ Copies of the publications listed on the attached Form PTO-1449 which were not previously cited in prior application Serial No. \_\_\_, filed on \_\_\_, and which is relied on for an earlier effective filing date for the subject application under 35 U.S.C. § 120, are provided herewith.

7. ☐ This is a continuation/divisional application under 37 CFR § 1.53(d) or Request for Continued Examination under 37 CFR 1.114.

*(Check either Item 7a or 7b)*

- 7a. ☐ The Issue Fee has not been paid.  
7b. ☐ A Petition to Withdraw from issue under 37 CFR §1.313(c) is filed concurrently herewith or has been granted. A continuation application under 37 CFR § 1.53(d) or Request for Continued Examination under 37 CFR 1.114, after payment of the Issue Fee is proper in accordance with 37 CFR § 1.53(d)(1)(ii) or 37 CFR 1.114(a), respectively.

8. ☐ This is a Supplemental Information Disclosure Statement.

*(Check either Item 8a or 8b)*

- 8a. ☐ This Supplemental Information Disclosure Statement under 37 CFR § 1.97(f) supplements the Information Disclosure Statement filed on \_\_\_\_\_. A bona fide attempt was made to comply with 37 CFR § 1.98, but inadvertent omissions were made. These omissions have been corrected herein. Accordingly, additional time is requested so that this Supplemental IDS can be considered as if properly filed on \_\_\_\_\_.  
8b. ☐ This Supplemental Information Disclosure Statement is timely filed within one (1) month of the Notice under 37 CFR § 1.97 and 1.98, mailed \_\_\_\_\_. (MPEP 609 C(1), Form ¶ 6.49, Rev. 1, Feb. 2000, pp. 600-107)

9. ☒ In accordance with 37 CFR § 1.98, a concise explanation of what is presently understood to be the relevance of each non-English language publication is:

*(Check appropriate Items 9a, 9b, 9c and/or 9d)*

- 9a. ☐ satisfied because all non-English language publications were cited on the enclosed English language copy of the PCT International Search Report or the search report from a counterpart foreign application indicating the degree of relevance found by the foreign office. (See U.S. Patent & Trademark Office's authorization in the Federal Register, Vol. 57, No. 12, January 17, 1992, at page 2031 (Reply to Comment 68).)  
9b. ☐ set forth in the application.  
9c. ☒ satisfied because an English language translation (As Indicated) is attached to each non-English language publication.  
9d. ☐ enclosed as Attachment 1(e), hereto.

10. No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor a representation that a search has been made (other than search report(s) from a counterpart foreign application or a PCT International Search Report, if submitted herewith). 37 CFR §§ 1.97(g) and (h).

11. The Commissioner is authorized to credit any overpayment or charge any additional fee required under 37 CFR § 1.17 for this Information Disclosure Statement and/or Petition to Deposit Account No. 19-3935.

Respectfully submitted,

STAAS & HALSEY LLP

Dated: FEB 21, 2003  
700 Eleventh Street, N.W., Suite 500  
Washington, D.C. 20001  
Telephone: (202) 434-1500  
Facsimile: (202) 434-1501

By: 

James G. McEwen  
Registration No. 41,983



Sheet 1 of 7

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NO.

1316.1021CC

APPLICATION NO.

09/930,964

# LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

FIRST NAMED INVENTOR

Jang-Hoon YOO et al.

FILING DATE

August 17, 2001

GROUP ART UNIT

2651

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA	4,566,762	1/28/1986	Kato			
	AB	5,142,411	8/25/1992	Fiala			
	AC	5,349,471	9/20/1994	Morris et al.			
	AD	4,545,653	10/8/1985	Brenden et al.			
	AE	4,741,605	5/3/1988	Alfredsson et al.			
	AF	4,074,314	2/14/1978	Velzel et al.			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO	
	AG	62-73429	4/4/1987	Japan			Abstract Only	
	AH	07-98431	4/11/1995	Japan			Abstract Only	
	AI	07-302,437	11/14/1995	Japan			JPO Provided	
	AJ	0 587 297	3/16/1994	Europe				
	AK	0 803 867	10/29/1997	Europe				
	AL	05-81698	4/2/1993	Japan			Abstract Only	

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

	AM	Y. Komma et al., "Dual focus optical head for 0.6mm and 1.2mm disks," Optical Data Storage, SPIE vol. 2338, 1994, pp. 282-288.
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EXAMINER	DATE CONSIDERED
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Sheet 2 of 7

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NO.

1316.1021CC

APPLICATION NO.

09/930,964

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Jang-Hoon YOO et al.

FILING DATE

August 17, 2001

GROUP ART UNIT

2651

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	BA	3,305,294	2/21/1967	Alvarez			
	BB	5,473,471	12/5/1995	Yamagata			
	BC	5,438,187	8/1/1995	Reddersen et al.			
	BD	3,958,884	5/25/1976	Smith			
	BE	4,501,493	2/26/1985	Kubota			
	BF	4,938,573	7/3/1990	Saito			
	BG	5,153,778	10/6/1992	Sasian-Alvarado			
	BH	5,164,584	11/17/1992	Wike, Jr. et al.			
	BI	4,210,391	7/1/1980	Cohen			
	BJ	5,583,843	12/10/1996	Horinouchi			

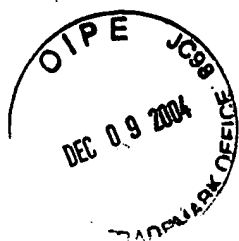
## FOREIGN PATENT DOCUMENTS

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO	
	BK	06-96466	4/8/1994	Japan			Abstract Only	
	BL	07-311969	11/28/1995	Japan			Abstract Only	
	BM	04-178931	6/25/1992	Japan			Abstract Only	

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

	BN	M. Shinoda et al., "Two-Element Objective Lenses and Spherical Aberration Correction for DVR," IEEE Transactions on Consumer Electronics, Vol. 42, No. 3, pp. 808-813 (August 1996).
EXAMINER		DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.		





Sheet 3 of 7

FORM PTO-1449  U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  <b>LIST OF REFERENCES CITED BY APPLICANT</b>  (Use several sheets if necessary)	ATTORNEY DOCKET NO.	APPLICATION NO.
	1316.1021CC	09/930,964
	FIRST NAMED INVENTOR	
	Jang-Hoon YOO et al.	
	FILING DATE	GROUP ART UNIT
	August 17, 2001	2651

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	CA	5,777,803	7/7/1998	Ju et al.			
	CB	5,734,512	3/31/1998	Shin et al.			
	CC	4,340,283	7/20/1982	Cohen			
	CD	4,929,823	5/29/1990	Kato et al.			
	CE	4,995,714	2/26/1991	Cohen			
	CF	4,995,715	2/26/1991	Cohen			
	CG	5,097,464	3/17/1992	Nishiuchi et al.			
	CH	5,231,624	7/27/1993	Finegan			
	CI	5,161,040	11/3/1992	Yokoyama et al.			
	CJ	5,235,581	8/10/1993	Miyagawa et al.			
	CK	5,446,565	8/29/1995	Komma et al.			

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO	
	CL	7-65407	03/1995	Japan			Abstract Only	
	CM							

**OTHER REFERENCES** (Including Author, Title, Date, Pertinent Pages, Etc.)

	CN	Takagi et al., "DVD/CD Compatible Pick-up with Liquid Crystal Shutter," IEEE (1997)
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EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



Sheet 4 of 7

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY DOCKET NO. 1316.1021CC	APPLICATION NO. 09/930,964
<b>LIST OF REFERENCES CITED BY APPLICANT</b>  (Use several sheets if necessary)		FIRST NAMED INVENTOR Jang-Hoon YOO et al.	
		FILING DATE August 17, 2001	GROUP ART UNIT 2651

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	DA	5,587,981	12/24/1996	Kamatani			
	DB	5,724,335	3/3/1998	Kubayashi			
	DC	5,777,973	7/7/1998	Yoo et al.			
	DD	5,796,683	8/18/1998	Sumi et al.			
	DE	5,303,221	4/12/1994	Maeda et al.			
	DF	5,513,158	4/30/1996	Ohsato			
	DG	5,615,200	3/25/1997	Hoshino et al.			
	DH	5,638,353	6/10/1997	Takahashi			
	DI	5,659,533	8/19/1997	Chen et al.			
	DJ	5,696,750	12/9/1997	Katayama			
	DK	5,703,856	12/30/1997	Hayashi et al.			

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO	
	DL	3-244450	10/1991	Japan			Abstract Only	
	DM	2-118508	05/1990	Japan			Abstract Only	

**OTHER REFERENCES** (Including Author, Title, Date, Pertinent Pages, Etc.)

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EXAMINER	DATE CONSIDERED
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Sheet 5 of 7

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY DOCKET NO. 1316.1021CC	APPLICATION NO. 09/930,964
<b>LIST OF REFERENCES CITED BY APPLICANT</b>  <i>(Use several sheets if necessary)</i>		FIRST NAMED INVENTOR Jang-Hoon YOO et al.	
		FILING DATE August 17, 2001	GROUP ART UNIT 2651

### U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	EA	5,734,637	3/31/1998	Ootaki et al.			
	EB	5,754,512	5/19/1998	Komma et al.			
	EC	5,768,242	6/16/1998	Juday			
	ED	5,496,995	3/5/1996	Kato et al.			
	EE	5,930,214	7/27/1999	Kasahara et al.			
	EF	5,708,638	01/1998	Braat et al.			
	EG	5,612,942	03/1997	Takahashi			
	EH	4,918,679	04/1990	Opheij et al			
	EI	4,733,943	03/1998	Suzuki et al			
	EJ	5,659,533	08/1997	Chen et al.			
	EK	5,615,199	03/1997	Tatsuno et al.			
	EL	5,345,072	09/1994	Hayashi et al.			

### FOREIGN PATENT DOCUMENTS

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO	
	EL	7263552	10/1942	Germany				XX

### OTHER REFERENCES *(Including Author, Title, Date, Pertinent Pages, Etc.)*

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EXAMINER	DATE CONSIDERED
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Sheet 6 of 7

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY DOCKET NO. 1316.1021CC	APPLICATION NO. 09/930,964
<b>LIST OF REFERENCES CITED BY APPLICANT</b>  (Use several sheets if necessary)		FIRST NAMED INVENTOR Jang-Hoon YOO et al.	
		FILING DATE August 17, 2001	GROUP ART UNIT 2651

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	FA	5,120,120	09/1992	Cohen et al.			
	FB	5,737,300	04/1998	Ota et al.			
	FC	4,612,437	09/1986	Ohsato			
	FD	5,161,148	11/1992	Hori et al.			
	FE	4,631,397	12/1986	Ohsato et al.			
	FF	5,917,800	06/1999	Choi			
	FG	4,904,856	02/1990	Nagahama et al.			
	FH	5,195,072	03/1993	Fukui et al.			
	FI	5,815,293	09/1998	Komma			
	FJ	5,526,338	06/1996	Hasman et al.			
	FK	5,844,879	12/1998	Morita et al.			

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO	
	FL	508,448	06/1939	Great Britain				

**OTHER REFERENCES** (Including Author, Title, Date, Pertinent Pages, Etc.)

	FM	
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EXAMINER	DATE CONSIDERED
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Sheet 7 of 7

FORM PTO-1449  U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  <b>LIST OF REFERENCES CITED BY APPLICANT</b>  (Use several sheets if necessary)	ATTORNEY DOCKET NO.	APPLICATION NO.
	1316.1021CC	09/930,964
	FIRST NAMED INVENTOR	
	Jang-Hoon YOO et al.	
	FILING DATE	GROUP ART UNIT
	August 17, 2001	2651

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NO.	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	GA	5,790,503	08/1998	Mizuno et al.			
	GB	6,052,237	04/2000	Opheij et al.			
	GC	4,266,534	05/1981	Ogawa			
	GD	5,986,779	11/1999	Tanaka			
	GE	5,132,843	07/1992	Aoyama et al.			
	GF	5,754,512	05/1998	Komma et al.			
	GG	2,233,591	03/1941	Dulovits			
	GH						
	GI						
	GJ						

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO	
	GK							

**OTHER REFERENCES** (Including Author, Title, Date, Pertinent Pages, Etc.)

	GL	
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EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

**ATTACHMENT 1(f)**

<b>LIST OF COPENDING APPLICATIONS</b>	ATTORNEY DOCKET NO.	APPLICATION NO.
	1316.1021CC	09/930,964
	FIRST NAMED INVENTOR	
	Jang-Hoon YOO et al.	
	FILING DATE	GROUP ART UNIT
	August 17, 2001	2651

The following, prior-filed, copending U.S. patent application(s) is/are listed in accordance with the duty of disclosure provisions of 37 CFR § 1.56, so that the Examiner may consider same should he deem any thereof to be material to examination of the subject application. Pursuant to 37 CFR 1.98(a)(2)(iii), a copy of the identified copending application(s) is provided.

It is requested that the Examiner acknowledge his consideration of application(s) below-listed by initialling same in the space provided adjacent each such application and that the Examiner sign and date this form at the bottom thereof to confirm such consideration having been given.

This submission in no way represents an admission that any of the information listed herein constitutes prior art with respect to the subject application and unless and until such prior art status is established, this submission is not a request that the information presented herein be printed on the face of any patent issuing from the subject application in which this information is being filed.

**U.S. PATENT APPLICATION DOCUMENTS**

*EXAMINER INITIAL		U.S. SERIAL NO.	FILING DATE	NAME	ASSIGNEE
	1	09/930,963 (Publication No. 2002- 0027862 A1)	08-17-2001	Jang-Hoon YOO et al.	Samsung Electronics Co., Ltd.
	2				
	3				
	4				
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	7				
	8				

EXAMINER	DATE CONSIDERED
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